

PATENT



Docket No. 4159-4003US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant (s): Richard B. Himmelstein  
Serial No.: 09/921,610  
Filing Date: August 3, 2001  
For: **ELECTRONIC BARTERING SYSTEM**

LETTER TO OFFICIAL DRAFTSPERSON

Commissioner For Patents  
Washington, D.C. 20231  
**Attn: OFFICIAL DRAFTSMAN**

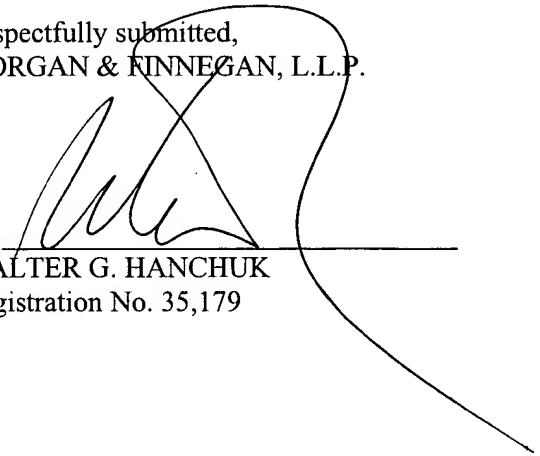
Sir :

Enclosed herewith are twenty (20) sheets of formal drawings (Figs. 1-9BB) for the above-referenced application.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4159-4003US1. A  
DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: October 12, 2001

By:   
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CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

I hereby certify that the attached Letter to Official Draftsperson (enclosing formal drawings Figs. 1-9BB);

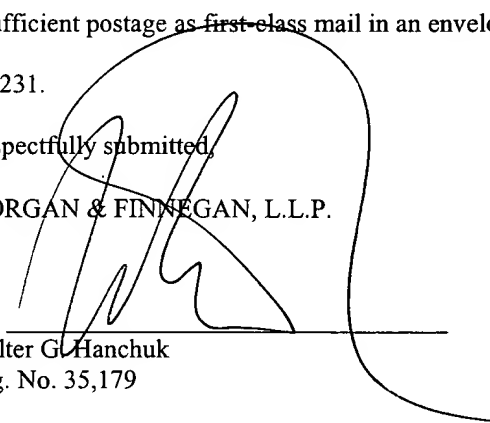
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along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: October 12, 2001

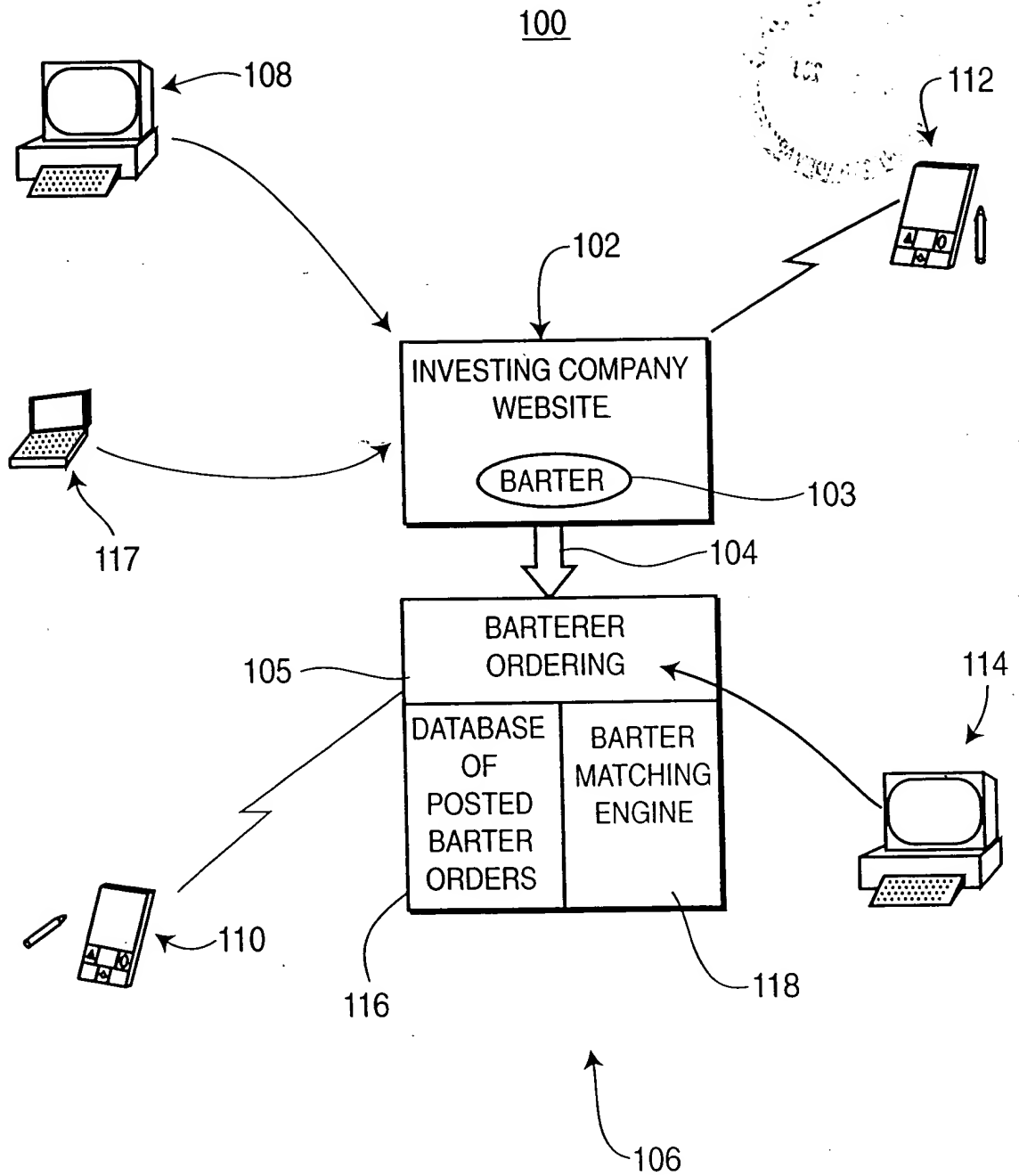
By:   
Walter G. Hanchuk  
Reg. No. 35,179

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FORM: CERT..NY  
Rev. 05/27/98



27123  
PATENT TRADEMARK OFFICE

**FIG. 1**

BARTERER ORDER				
HAVE	QTY	VALUE	WANT	VALUE
DD	45	20	AET	90

TRAN- BARTER DATA					
SECTION	HAVE	QTY	VALUE	WANT	VALUE
2221	AET	100	MKT	OMX	MKT-3%
4890	AET*	75	85	DD*	16
6034	AET*	100	90	DD	MKT
5564	DD	300	17	AET	74
9021	DD	110	MKT	RHAT	MKT
3752	OMX*	30	41	RHAT*	25
7657	OMX*	35	45	DD	20
3360	OMX*	40	MKT	RHAT	18
8290	RHAT	50	19	AET	MKT
0077	RHAT*	20	18	AET	MKT
1779	RHAT	15	MKT	OMX	29

FIG. 2

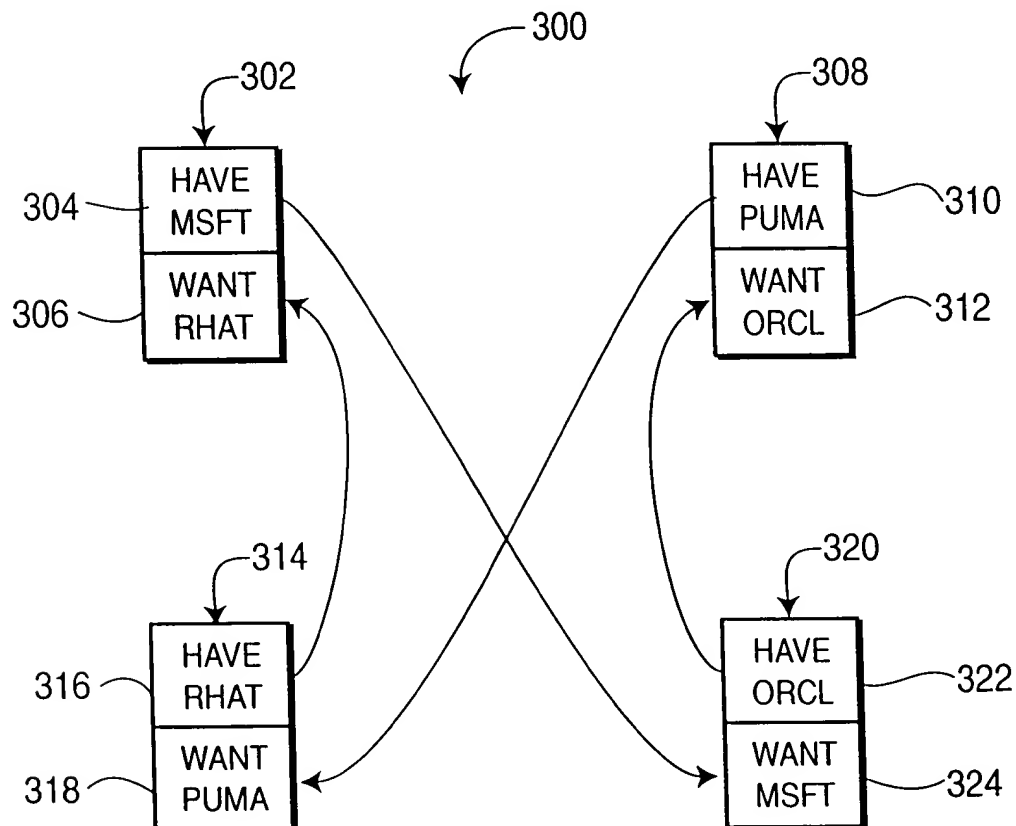
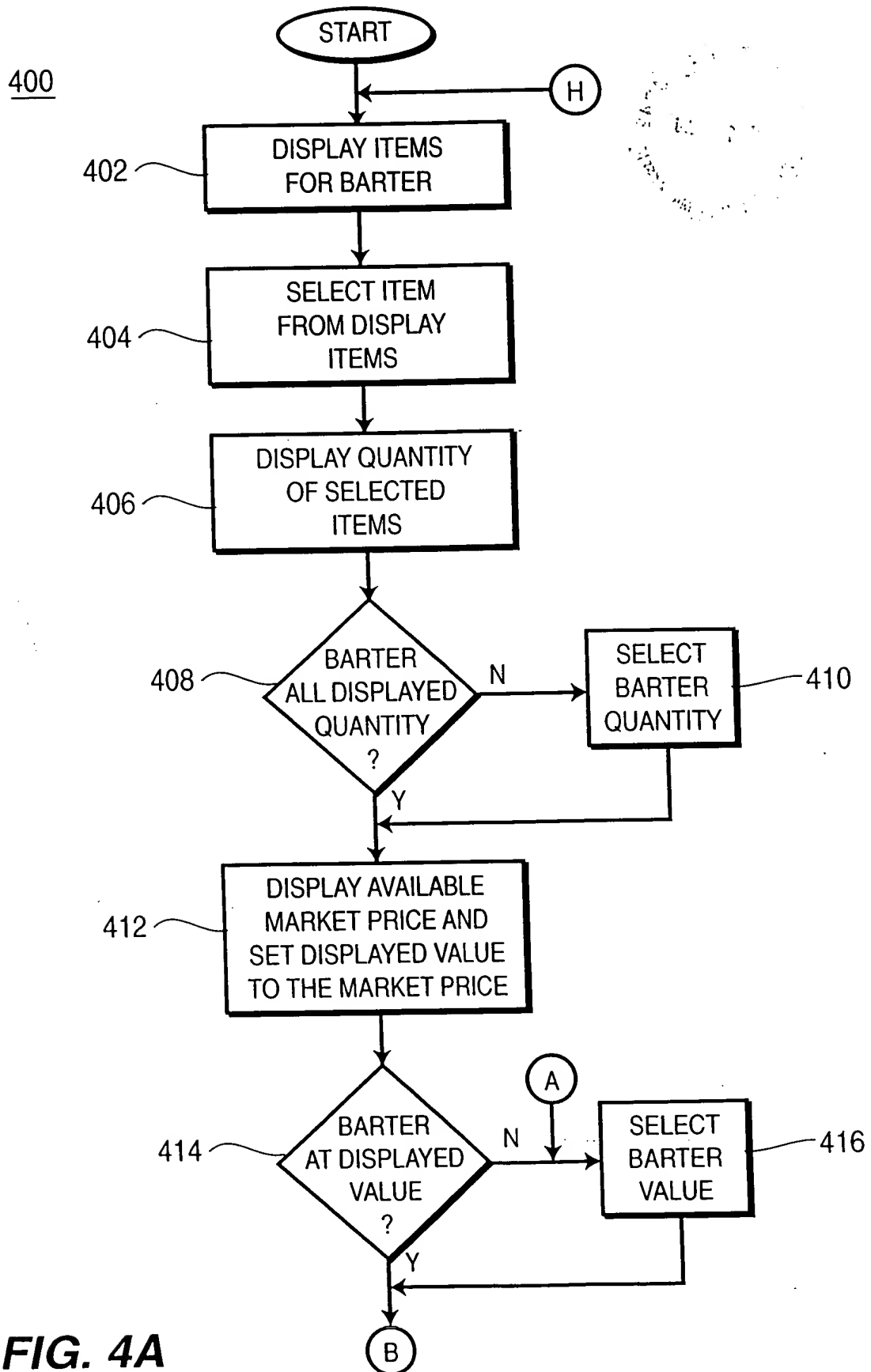


FIG. 3



400

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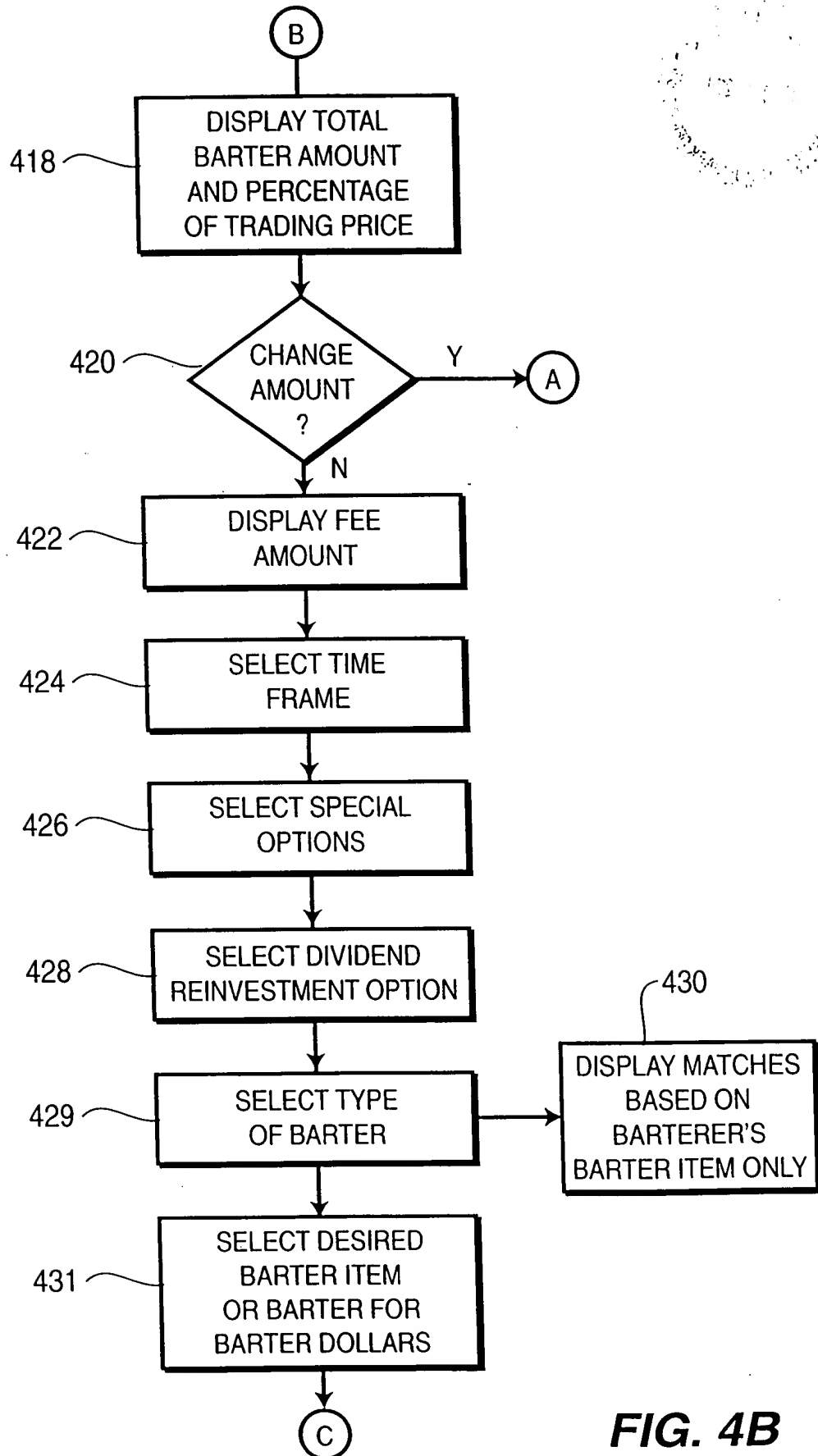


FIG. 4B

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400

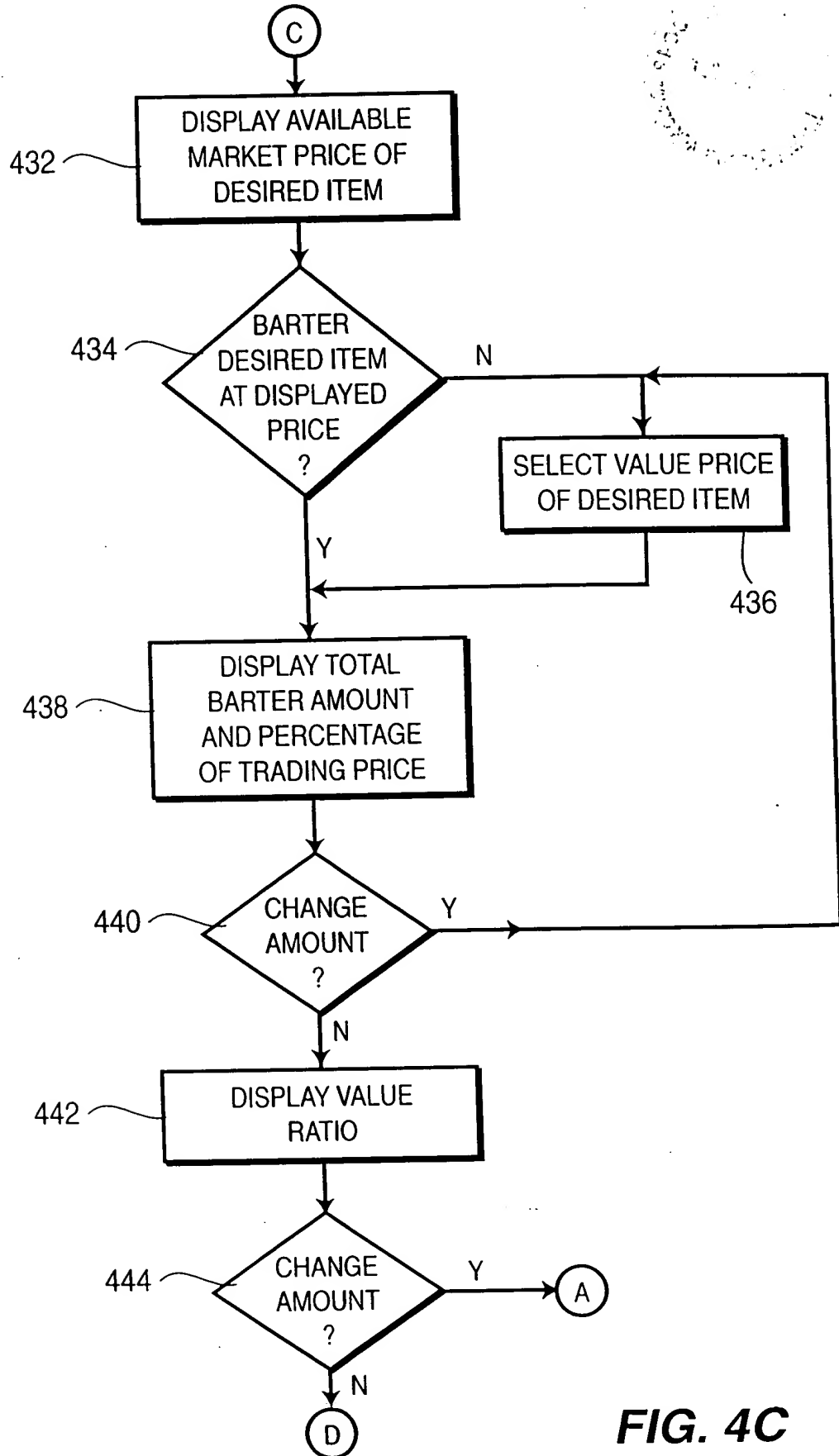


FIG. 4C

400

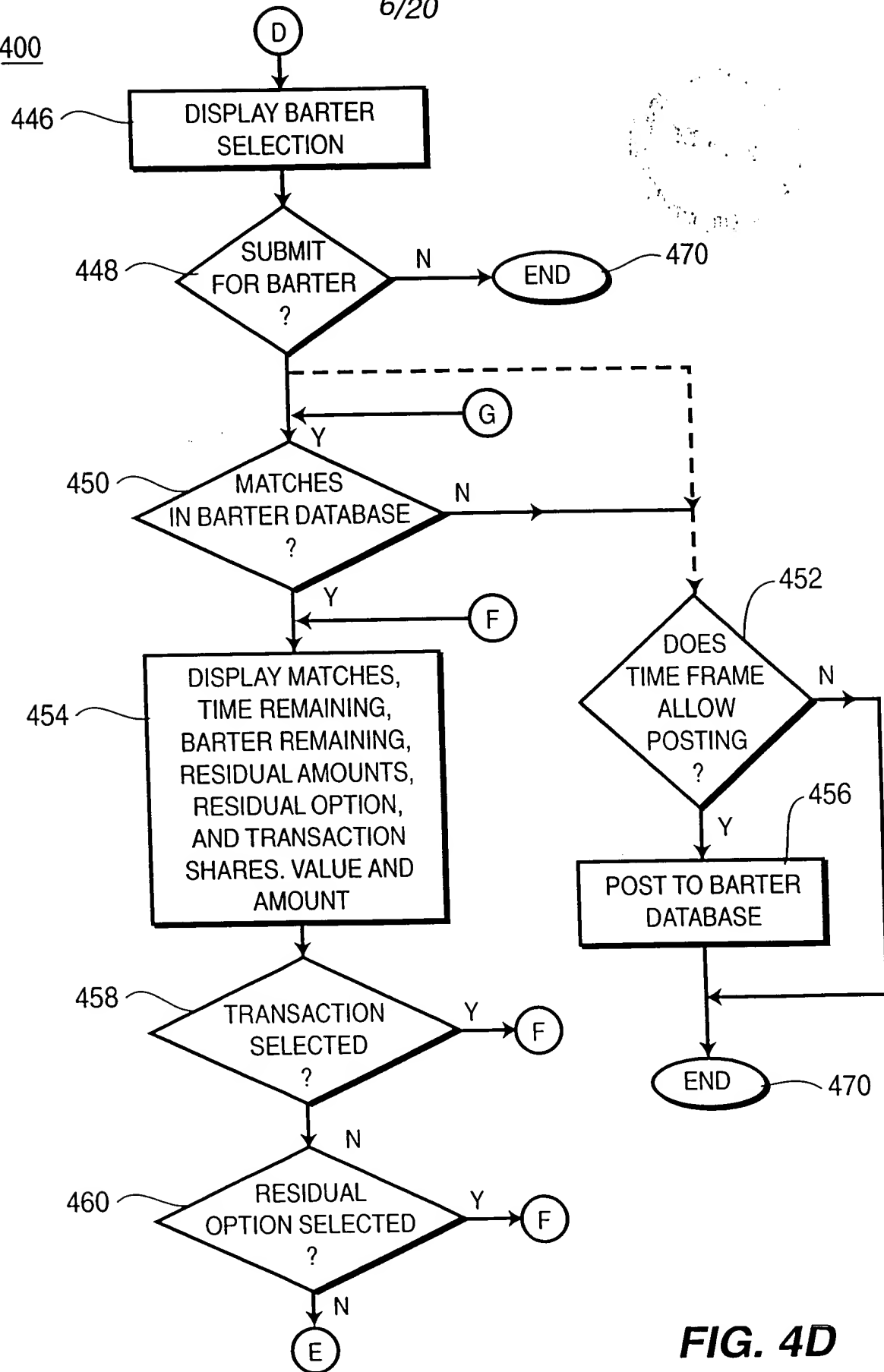
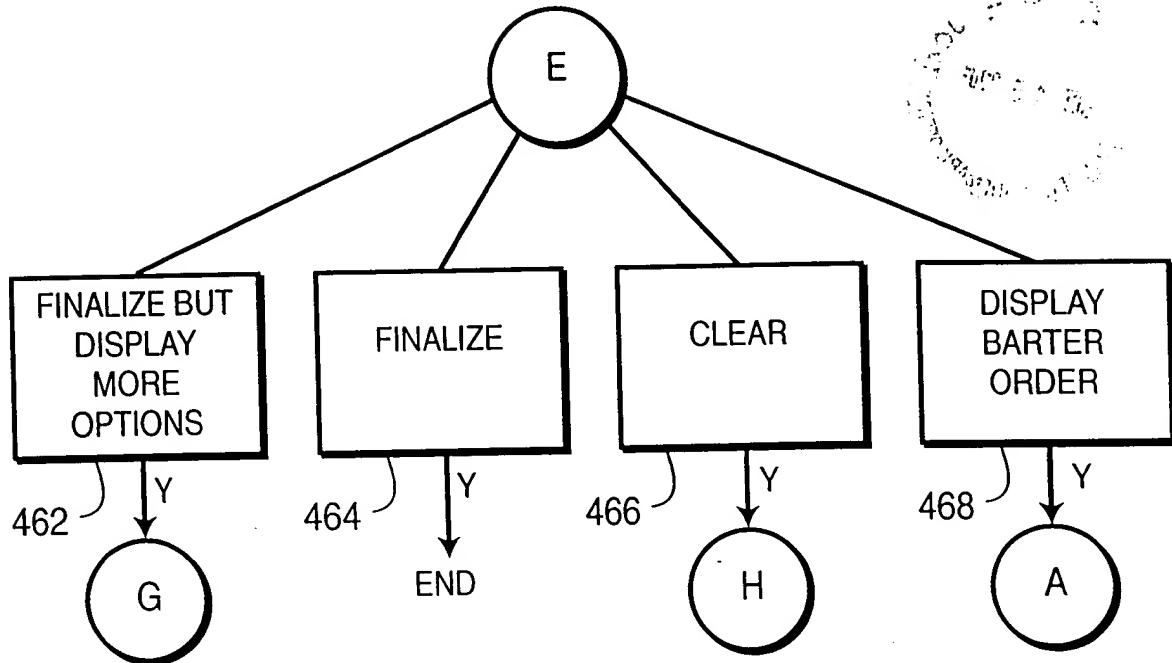
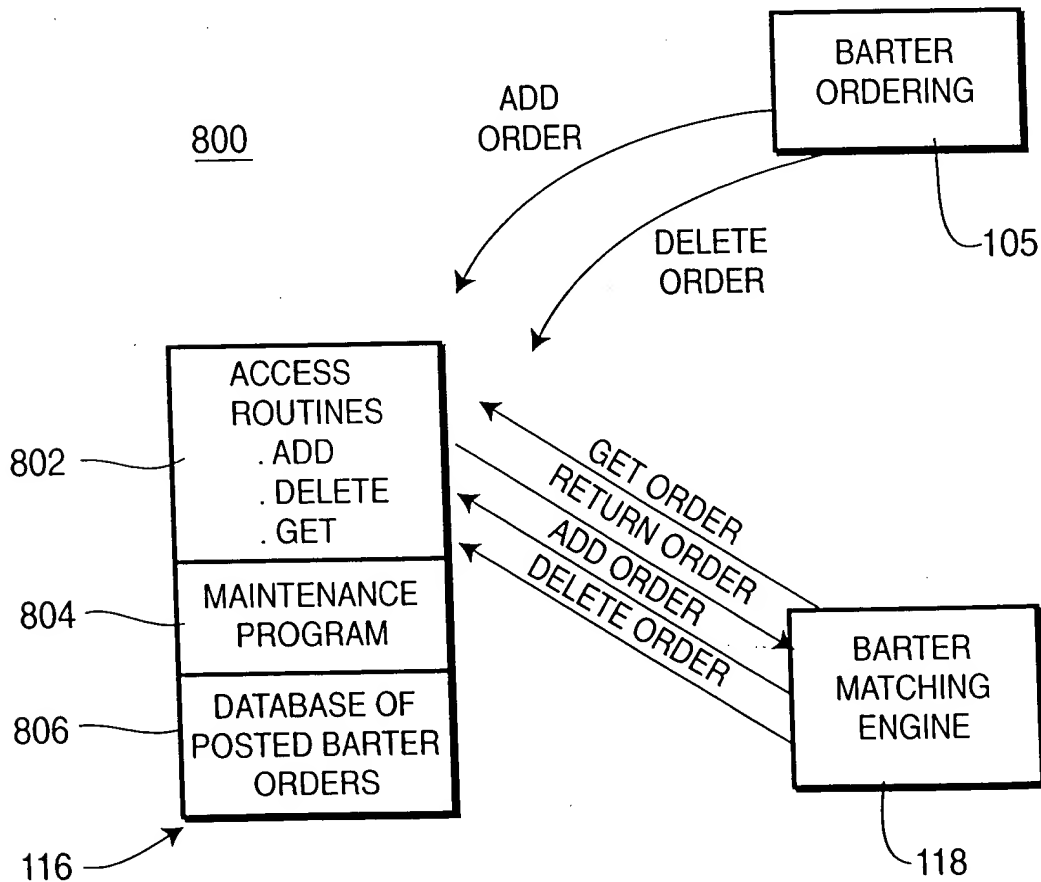


FIG. 4D



**FIG. 4E****FIG. 8**

500

## BARTER SECURITY

ITEMS

DD ▼		
DD		600
PFE*	01/05/2001-01/05/2001	100
PUMA		250
DD*	11/10/2000-____/____/____	200
CASH \$		
WEB BARTER \$		

QUANTITY

600
▲▼

ITEMS BY CLASS

STOCK SYMBOL ▼
HIMMELSTEIN OPTION SYMBOL ▼
CASH XXXX ▼
WEB BARTER DOLLARS ▼

506

MARKET DATA FOR DD

Current stock trading price as of 02/15/1999 at time 10:45am is \$ 75.90

**FIG. 5A**

500 VALUE \$

per share,  
web barter dollars,  
cash

OR

If stock or Himmelstein Option,  
510 ☐ barter at current stock trading price

511

\$

OR

%

512 ☐ plus  
514 VALUE

\$

OR

516 PERCENT

%

518 ☐ minus  
VALUE

\$

OR

519

PERCENT

517

519

%

520

Total anticipated barter amount: \_\_\_\_\_  
Note: Your value price is "X" percentage/dollar amount less/more than (or equal to) stock trading price.

522

change

continue

523

**FIG. 5B**

524 — FEE AMOUNT per share is anticipated to be \_\_\_\_\_, if direct barter (total anticipated fee \_\_\_\_\_);

526 — FEE AMOUNT per share is anticipated to be \_\_\_\_\_, if web barter (total anticipated fee \_\_\_\_\_);

528 → TIMING

day only ▼
day only
good until canceled
fill or kill
immediate or cancel
only view current posts

530 — SPECIAL CONDITIONS (OPTIONAL)

☐ minimum quantity

☐ do not reduce

☐ all or none

☐ deferred settlement date before \_\_\_\_\_ date after \_\_\_\_\_

531 — ☐ other security, if any, to be provided at settlement \_\_\_\_\_

**FIG. 5C**

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532 ➤ DIVIDEND REINVESTMENT (FOR NEW STOCK)

- ☐ yes, new stock must have a dividend reinvestment program
- ☐ no, new stock must not have had a dividend reinvestment program
- ☐ accept new stock with or without a dividend reinvestment program

534 —TYPE OF BARTER

- ☐ direct barter only (fee amount anticipated to be \_\_\_\_\_ )
- ☐ if direct barter not available, then barter with web site (fee amount anticipated to be \_\_\_\_\_ )

DESIRED ITEM

Security

AET ▼

Industry

Health Care ▼

535

536

- ☐ Himmelstein Option for stock
- 537 ➔ ☐ Stock
- ☐ Cash
- ☐ Web barter dollars

MARKET DATA FOR AET

538 ➔ Current stock trading price as of 02/15/1999 at time 10:45am is \$ 47.50.

**FIG. 5D**

Value <sup>540</sup>  per share

OR <sup>541</sup>

☐ if stock or Himmelstein Option, barter at current stock trading price

☐ plus

Value

OR

Percent

☐ minus

Value

OR

Percent

**FIG. 5E**

542 → Your total barter amount is (anticipated to be) \_\_\_\_\_ for new stock  
Note: your value price is "X" percentage/dollar amount less/more than current  
stock trading price.

544 → Note: Ratio of stock to stock trading price divided by new stock to stock trading  
price is "XX.XX"

546 → System will re-list order and list terms and conditions and ask if you want to continue  
must click on the continue/agree icon

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

548   549

FIG. 5F

# AVAILABLE BARTER ORDERS

NOTE: CLICK ON ORDER # IF CHOOSE TO DO BARTER

IF MORE THAN ONE SELECTION, CLICK ON SEQUENTIAL PREFERENCE

ORDER #	SYMBOL	PRICE	RATIO TO STOCK VALUE # OF		BARTER	PRICE FLUCTUATE WITH SPECIAL		TIMING	DIVIDEND
			TRADING PRICE	RATIO	SHARES	AMOUNT	STOCK TRADING PRICE	CONDITIONS	
1) 1000526	IBM	115	1.00	1.0200	120	\$13,800.00	YES	NONE	1 YES
2) 9843566	IBM	115 <sup>1/16</sup>	.9995	1.0194	40	\$4,602.50	NO	MINIMUM 40	2 NO
3) 1043442	IBM	115 <sup>11/16</sup>	.9941	1.0139	100	\$11,568.75	NO	AFTER 2/01/00 BEFORE INDEFINITE SECURITY AT SETTLEMENT = $\phi$	1 YES

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ORDER #	# OF SHARES GIVING	PRICE OF GIVING ITEM	# OF SHARES RECEIVING	PRICE OF RECEIVING ITEM	BARTER AMOUNT
1)					
2)					
3)					
4)					
5)					
6)					

AMOUNT OF BARTER LEFT	TIME REMAINING
RESIDUAL AMOUNT LEFT OVER	<input type="checkbox"/> HOLD IN ESCROW <input type="checkbox"/> DONATE IT <input type="checkbox"/> PURCHASE OTHER STOCK

FINALIZE TRANSACTION  
BUT DISPLAY MORE  
BARTER OPTIONS

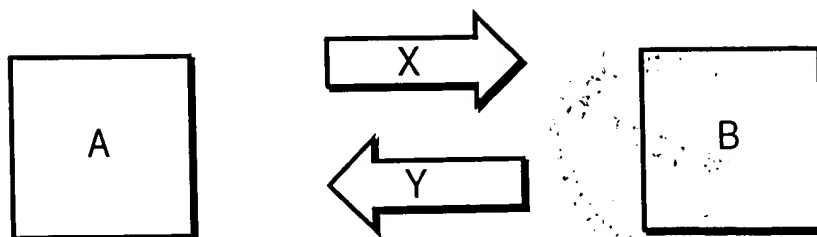
FINALIZE  
TRANSACTION

CHANGE BARTER  
ORDER

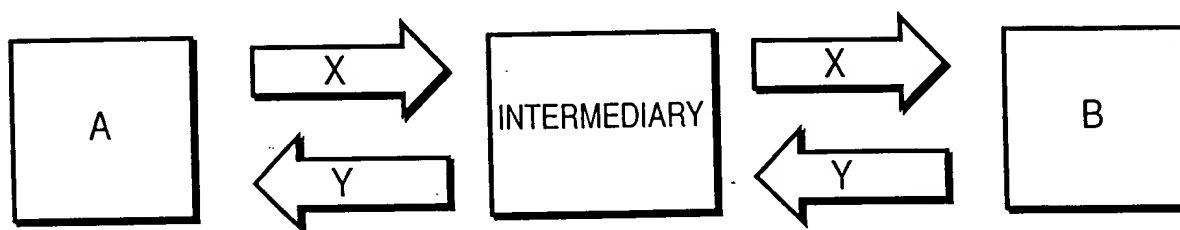
CLEAR

FIG. 6

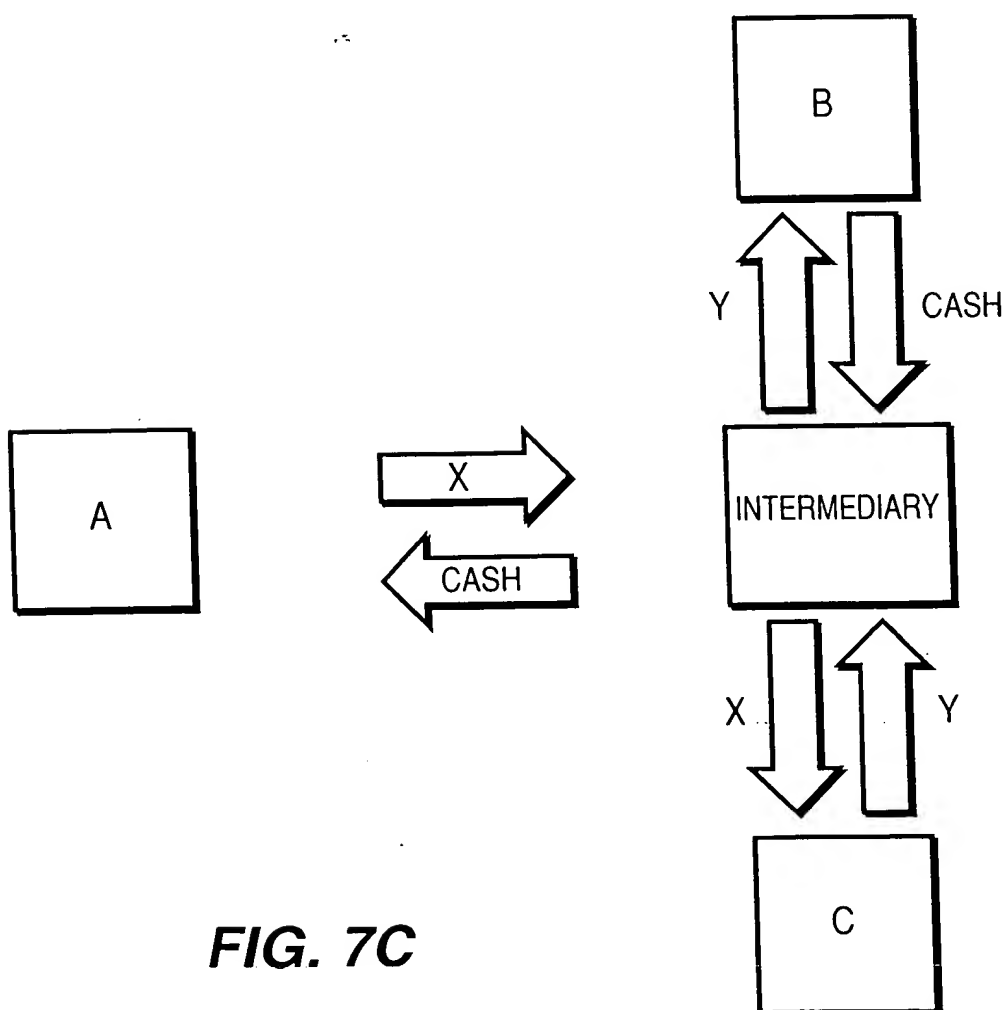




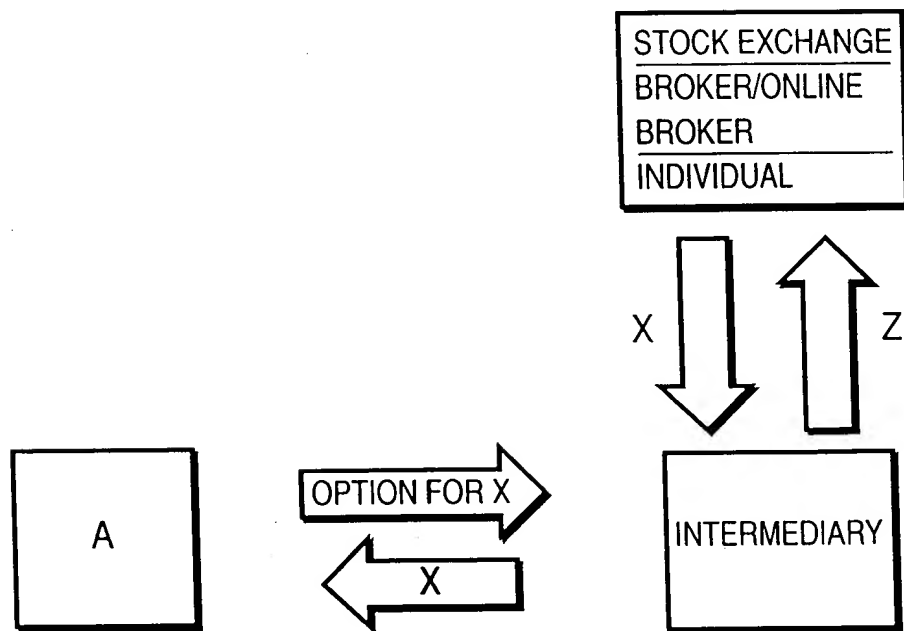
**FIG. 7A**



**FIG. 7B**



**FIG. 7C**

[illegible]

**FIG. 7E**

**FIG. 9A**

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**FIG. 9AA** **FIG. 9AB**

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	Symbol or Name	# Shares	\$	N/A	N/A
2	Currency	US or Foreign	X	US\$	N/A	N/A
3	Bonds	Issuer	X	\$	N/A	N/A
4	Options	Z	N	\$	+/- \$	MMDDYY
5	Government Bond	Treasury Notes, Bonds or Bills	X	\$	+/- \$	N/A
6	Futures	Symbol or Name	Measure- ment* Quality	\$	N/A	MMDDYY
7	Annuities	Issuer	X	\$	N/A	N/A
8	CD's	Issuer	X	\$	N/A	N/A
9	Web Barter Dollar	IOU	X	\$	+/- \$	MMDDYY

Z = Any security

X = Foreign or domestic currency

**FIG. 9AA**

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
\$ or specific relationship to market value	N/A	N/A	Dividend?	MMDDYY
				MMDDYY
US\$ or specific relationship to market value	N/A	N/A	Par Discount Premium	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% yield rate	MMDDYY	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Fixed or Variable Interest Rate	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Compound Interest	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Dividend? Par, Discount, Premium Fixed or Variable Interest Compound Interest?	MMDDYY
				MMDDYY

Y = Interest rate or current yield in percentage

N = Quantity of options

**FIG. 9AB**

**FIG. 9B**

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**FIG. 9BA FIG. 9BB**

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	AOL	100 Shares	\$ 10,900.00	N/A	N/A
2	Currency	Canadian \$	5,000CN\$	\$ 3,453.04	N/A	N/A
3	Bonds	Mirage	25,000.00	\$ 24,750.00	N/A	N/A
4	Options	IBM	12 Options	\$ 122,400.00	\$ 102.00	30-Nov-99
5	T-Bills	US Government	\$ 10,000.00	\$ 10,000.00	\$ 101.00	N/A
6	Futures	Gold	10 troy oz	\$ 3,157.50	N/A	30-Nov-99
7	Annuity	TransAmerica	\$ 100,000.00	\$ 100,000.00	N/A	N/A
8	CD's	SunWest Bank	\$ 50,000.00	\$ 50,000.00	N/A	N/A
9	Web Barter Dollar	IOU	\$ 25,000.00	\$ 25,000.00	A	B

A = Could have Bid Strike Price if Web Barter \$ are from Options or Government Bonds + C9 depending on terms and conditions in barter transactions

B = Could have Expiration Date if Web Barter \$ are from Options or Futures depending on terms and conditions in barter transactions

**FIG. 9BA**

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
\$ 10,750.00	N/A	N/A	Dividend?	01-FEB-01/ 29-FEB-01
\$ 3,448.28	N/A	N/A	N/A	02-JAN-00/ 02-JAN-00
\$ 24,900.00	8.50%	1-MAR-15	Par, Discount Premium	24-DEC-03/ 28-DEC-05
\$ 12,840.00	N/A	N/A	N/A	4-OCT-99/ 4-NOV-99
\$ 9,800.00	4.93%	15-Jun-00	N/A	OPEN/ 15-DEC-99
\$ 3,000.00	N/A	N/A	N/A	OPEN/ 31-OCT-59
\$ 105,000.00	10.50%	10-Jun-06	Fixed or Variable Interest Rate	02-JAN-02/ 12-JAN-42
\$ 49,000.00	4.14%	10-May-00	Compound Interest?	12-DEC-99/ 12-DEC-29
\$ 24,500.00	C	D	Dividend? Par, Discount, Premium Fixed or Variable Interest Compound Interest?	OPEN/ 15-JUN-04

C = Could have Yield or Interest Rate if Web Barter \$ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

D = Could have Maturity Date if Web Barter \$ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

**FIG. 9BB**